

08-16-01

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional application under 37 C.F.R. § 1.53(b))

Attorney Docket No.	IN-5331
First Named Inventor	Swaminathan REMESH et al.
Filing Date	Tuesday, August 14, 2001
Title	Coating Composition Including A Water-Based Copolymer Cross-Linking With A Water-Dispersible Cross-Linking Agent, Method Of Preparing The Same, And A Cured Film Thereof
Express Mail Certificate	EK894923935US

## APPLICATION ELEMENTS

MPEP chapter 600 concerning utility patent application contents

See

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages  ]  
-(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross References to Related Application  
- Statement Regarding Fed sponsored R & D  
- Reference to Microfiche Appendix  
- Background of the invention  
- Background of the invention  
- Background of the invention  
- Brief Summary of the invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C.113) [Total Sheets  ]
5. ☒ Oath or Declaration [Total Sheets  ]  
a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR § 1.63(d))  
(for continuation/divisional with Box 17 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting
6. ☐ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identify of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR§3.73(b) Statement (when there is an assignee) ☐ Power Of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/ PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically Itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ other: .....

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment;

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. 0 filed on .....

Prior application information:

Examiner

Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application from which an oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

26922

PATENT TRADEMARK OFFICE

or ☐ Correspondence address below

Country	USA	Telephone	(248) 948-2021	Fax	(248) 948-2093
Name (print Type)	Anne Gerry Sabourin	Registration No. (Attorney Agent)	33,772		
Signature	<i>Anne H. Sabourin</i>	Date	August 14, 2001		

<b>FEE TRANSMITTAL</b> Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997	Attorney Docket No.	IN-5331
	First Named Inventor	Swaminathan RAMESH et al.
	Filing Date	Tuesday, August 14, 2001
	Title	Coating Composition Including A Water-Based Copolymer Cross-Linking With A Water-Dispersible Cross-Linking Agent, Method Of Preparing The Same, And A Cured Film Thereof
	Express Mail Certificate	EK894923935US

<b>TOTAL AMOUNT OF PAYMENT</b>	<b>\$2,580.00</b>
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<b>METHOD OF PAYMENT</b>	<b>FEE CALCULATION</b>
--------------------------	------------------------

<b>1.</b> <input checked="" type="checkbox"/> The Commissioner is hereby authorized to change indicated fees and credit any over payments to:		<b>3. ADDITION FEES</b>	
Deposit Account Number <b>23-3425</b>		Large Fee Code	Entity Fee (\$)
Deposit Account Name <b>BASF Corporation</b>		105	130
<input checked="" type="checkbox"/> Change Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17		127	50
<input checked="" type="checkbox"/> Charge the Issue Fee Set in 37 CFR § 1.18 at the Mailing of the Notice of Allowance		139	130
<b>2.</b> <input type="checkbox"/> Payment Enclosed:		147	2,520
<input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other		112	920*

<b>FEE CALCULATION</b>		Fee Description	Fee Paid
<b>1. BASIC FILING FEE</b>		Surcharge --late filing fee or oath	
Large Fee Code	Entity Fee (\$)	provisional ailing or cover sheet	
401	710	Non-English specification	
406	330	For filing request for examination	
407	540	Requesting publication of SIR prior to Examiner action	
108	790	Requesting publication of SIR after Examiner action	
114	150	Extension for reply within first month	
SUBTOTAL (2)		115	110
		116	400
		117	890.
		118	1,510
		128	2,060
		119	310
		120	310
		121	270
		138	1,510
		140	110
		141	1,320
		142	1,320
		143	450
		144	670
		122	130
		123	50
		126	240
		581	40
		146	790
		149	790
		Other fee	
		Reduced By Basic Fee Paid Filing	

<b>2. EXTRA CLAIM FEES</b>		Fee from below		Fee Paid
Total Claims	95 - 20** = 75	x	18	= \$1,350.
Independent Claims	06 - 3** = 0	x	80	= \$ 480.
Multiple Dependent			270	=
**Or number previously paid, if greater; For Reissues, see below				
Large Fee Code	Entity Fee (\$)	Claims in excess of 20		
103	18	Independent claims in excess of 3		
102	80	Multiple dependent claims, if not paid		
104	270	**Reissue independent claims over original patent		
109	82	**Reissue claims in excess of 20 and over original patent		
110	22			
SUBTOTAL (2)		(\$1,830.00)		

<b>18. CORRESPONDENCE ADDRESS</b>	
<input checked="" type="checkbox"/> Customer Number or Bar Code Label	<input checked="" type="checkbox"/> Correspondence address below
26922 PATENT, TRADEMARK OFFICE	

Country	USA	Telephone	(248) 948-2021	Fax	(248) 948-2093
Name (print Type)	Anne Gerry Sabourin	Registration No. (Attorney Agent)	33,772		
Signature		Date	August 14, 2001		

**PATENT**

(Practitioner's Docket No. IN-5331)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

Swaminathan RAMESH, Paul  
LESSEK, Wolfgang BREMSER, and Paul  
J. HARRIS

US Serial No. Herewith

Group Art Unit: Not Assigned

Filed: August 14, 2001

Examiner: Not Assigned

For: Coating Composition Including A Water-Based Copolymer Cross-Linking With A Water-Dispersible Cross-Linking Agent, Method Of Preparing The Same, And A Cured Film Thereof

Patent\*: Issue Date

Reexamination No.: Issue Date

Reissue: Issue Date

\*NOTE: Insert name(s) of inventor(s) and title for patent.

Assistant Commissioner for Patents  
Washington, D.C. 20.231

**STATEMENT UNDER 37 C.F.R. § 3.73(b)-  
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION**

**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\***  
(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification optional.)

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

**37 C.F.R. § 1.8(a)**

**37 C.F.R. § 1.10\***

☐ with sufficient postage as first class mail.

☒ as "Express Mail Post Office to Addressee"  
Mailing Label No: **EK894923935US** (mandatory)

**TRANSMISSION**

☐ transmitted by facsimile to the Patent and Trademark Office.

Date: August 14, 2001

Signature

Marjorie Ellis

(type or print name of person certifying)

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

**IDENTIFICATION OF ASSIGNEE**

BASF CORPORATION

2. \_\_\_\_\_  
Name of assignee  
CORPORATION

\_\_\_\_\_  
Type of assignee, e.g., corporation, partnership, university, government agency, etc.

**PERSON(s) AUTHORIZED TO SIGN**

3. Anne Gerry Sabourin, 33,772  
(type name of person authorized to sign on behalf of assignee)  
Managing Counsel  
Title of person authorized to sign

(complete the following, if applicable)

☒ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

**BASIS OF ASSIGNEE'S INTEREST**

Ownership by the assignee is established as follows:

- A.
- ☐ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_.
  - ☒ An assignment (document) separately being submitted for recordal herewith.

**AND/OR**

- B.
- ☐ A chain of title from the inventor(s) to the current assignee as shown below:

1. From: \_\_\_\_\_  
Name of inventor(s)  
To: \_\_\_\_\_

Recorded in PTO:  
Reel \_\_\_\_\_ Frame \_\_\_\_\_

(check item below, and add details, if applicable)

☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.

**COPIES OF DOCUMENTS IN CHAIN OF TITLE**

(complete this item, if copies are being sent)

☐ Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:

☐ A

☐ 1

☐ 2

☐ B

☐ 1.

☐ 2

☐ 3.

Reg. No.: 33,772

  
SIGNATURE OF ATTORNEY

**Anne Gerry Sabourin**

Type or print name of attorney

Tel. No.: ( 248 ) 948-2021

**BASF Corporation**

**26701 Telegraph Road**

P.O. Address

**Southfield, Michigan 48034-2442**

Customer No. 26922

PATENT

(Practitioner's Docket No. IN-5331)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Swaminathan RAMESH, Paul  
LESSEK, Wolfgang BREMSER, and Paul  
J. HARRIS

US Serial No. Herewith

Group Art Unit: Not Assigned

Filed: August 14, 2001

Examiner: Not Assigned

For: COATING COMPOSITION INCLUDING A WATER-BASED COPOLYMER CROSS-LINKING  
WITH A WATER-DISPERSIBLE CROSS-LINKING AGENT, METHOD OF PREPARING THE SAME,

Assistant Commissioner of Patents  
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EK894923935US Date of Deposit August 14, 2001

I hereby certify that the following attached paper or fee

☒ Application  
Specification on 43 pages; claims on 21 pages;  
the abstract on 01 page(s); drawings on 0 page(s).

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, DC  
20231.

Mailer

\_\_\_\_\_  
(Typed or printed name of person mailing paper or fee)

  
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Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g. complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT

(Practitioner's Docket No. IN-5331)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Swaminathan RAMESH, Paul  
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US Serial No. Herewith

Group Art Unit: Not Assigned

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Assistant Commissioner of Patents  
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EK894923935US Date of Deposit August 14, 2001

I hereby certify that the following attached paper or fee

☒ Combined Declaration and Power of Attorney on  pages

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, DC 20231.

Mailer

\_\_\_\_\_  
(Typed or printed name of person mailing paper or fee)

  
\_\_\_\_\_  
Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g. complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail". Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed